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3732/1

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/900,503	
	Filing Date	July 6, 2001	
	First Named Inventor	HU, LAWRENCE W.	
	Group Art Unit	3732	
	Examiner Name	SMITH, JEFFREY A.	
Total Number of Pages in This Submission	14	Attorney Docket Number	GUID-012CON

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply 1.111 <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Marked-Up & Clean-Copy of Fig. 10 w/proposed amendment(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input checked="" type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for Approval of Proposed Drawing Amendment
Remarks		

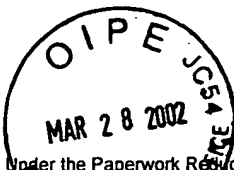
**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual Name	FRANK P. BECKING, Reg. No. 42,309
Signature	
Date	March 13, 2002

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: March 13, 2002.			
Typed or printed name	Teri Muir		
Signature		Date	March 13, 2002

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

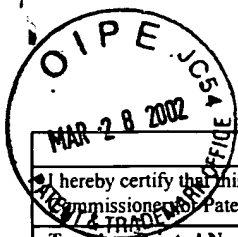


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FEE TRANSMITTAL for FY 2002		Complete if Known	
Patent fees are subject to annual revision.		Application Number	09/900,503
		Filing Date	July 6, 2001
		First Named Inventor	HU, LAWRENCE W.
		Examiner Name	SMITH, JEFFREY A.
		Group Art Unit	3732
		Attorney Docket No.	GUID-012CON
TOTAL AMOUNT OF PAYMENT (\$)		452.00	
METHOD OF PAYMENT		FEE CALCULATION (continued)	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit overpayments to: Deposit Account Number 50-0815 Deposit Account Name Bozicevic, Field & Francis LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant Claims small entity status. See 37 CFR 1.27		3. ADDITIONAL FEES	
2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		Fee Code Large Entity Fee (\$) Small Entity Fee (\$) Fee Description Fee Paid	
FEE CALCULATION		105 130 205 65 Surcharge - late filing fee or oath	
2. BASIC FILING FEE		127 50 227 25 Surcharge - late provisional filing fee or cover sheet	
Large Entity Fee Code (\$)		139 130 139 130 Non-English specification	
Small Entity Fee Code (\$)		147 2,520 147 2,520 For filing a request for ex parte reexamination	
Fee Description		112 920* 112 920* Requesting publication of SIR prior to Examination action	
Fee Paid		113 1,840* 113 1,840* Requesting publication of SIR after Examiner action	
101 740 201 370 Utility filing fee		115 110 215 55 Extension for reply within first month	
106 330 206 165 Design filing fee		116 400 216 200 Extension for reply within second month	
107 510 207 255 Plant filing fee		117 920 217 460 Extension for reply within third month	
108 740 208 370 Reissue filing fee		118 1,440 218 720 Extension for reply within fourth month	
114 160 214 80 Provisional filing fee		128 1,960 228 980 Extension for reply within fifth month	
SUBTOTAL (1)		119 320 219 160 Notice of Appeal	
1. EXTRA CLAIM FEES		120 320 220 160 Filing a brief in support of an appeal	
Total Claims 25-20** = 5 x		121 280 221 140 Request for oral hearing	
Extra Claims Fee from below 18.00		138 1,510 138 1,510 Petition to institute a public use proceeding	
Indep. Claims 6-3** = 3 x 84.00 = 252.00		140 110 240 55 Petition to revive - unavoidable	
Multiple Dependent =		141 1,280 241 640 Petition to revive - unintentional	
Large Entity Fee Code (\$)		142 1,280 242 640 Utility issue fee (or reissue)	
Small Entity Fee Code (\$)		143 460 243 230 Design issue fee	
Fee Description		144 620 244 310 Plant issue fee	
103 18 203 9 Claims in excess of 20		122 130 122 130 Petitions to the Commissioner	
102 84 202 42 Independent claims in excess of 3		123 50 123 50 Processing fee under 37 CFR 1.17(q)	
104 280 204 140 Multiple dependent claim, if not paid		126 180 126 180 Submission of Information Disclosure Stmt	
109 84 209 42 ** Reissue independent claims over original patent		581 40 581 40 Recording each patent assignment per property (times number of properties)	
110 18 210 9 ** Reissue claims in excess of 20 and over original patent		146 740 246 370 For each additional invention to be examined (37 CFR § 1.129(a))	
SUBTOTAL (2) \$ 342.00		149 740 249 370 For each additional invention to be examined (37 CFR § 1.129(b))	
**or number previously paid, if greater; For Reissues, see above.		179 740 279 370 Request for Continued Examination (RCE)	
		169 900 169 900 Request for expedited examination of a design application	
		Other fee (specify) Terminal Disclaimer 110.00	
		*Reduced by Basic Filing Fee Paid	
		SUBTOTAL (3) (\$)	
		110.00	
SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)		Registration No. (Attorney/Agent)	
Frank P. Becking		42,309	
Signature		Telephone	
[Signature]		(650) 327-3400	
		Date	
		03/13/2002	

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#5/2  
4/11/02

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.			
Typed or Printed Name		Teri Muir	
Signature		<i>Teri Muir</i>	Date March 13, 2002

<b>REQUEST FOR APPROVAL OF PROPOSED DRAWING AMENDMENT</b>  Address to: Assistant Commissioner for Patents Washington, D.C. 20231	Attorney Docket	GUID-012CON
	Confirmation No.	5237
	First Named Inventor	Hu et al.
	Application Number	09/900,503
	Filing Date	July 6, 2001
	Group Art Unit	3732
	Examiner Name	Jeffery A. Smith
Title		Surgical Retractor Platform Blade Apparatus

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Sir:

This is to request the Examiner's approval of a proposal to change Figure 10. The only changes requested are to change the reference numbers 85 to ---89--- as indicated in red ink on the enclosed copy of Fig. 10. Applicants note that these changes are being requested since the "tissue retainer" has also been assigned reference number 85. Approval of this proposal is respectfully requested. A clean copy of the drawing is also submitted in anticipation of acceptance of the correction.

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §1.16 and 1.17 which may be required by this paper, or to credit any overpayment, to Deposit Account No. 50-0815. However, the Commissioner is not authorized to charge the issue fee in this case.

Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

Date: 3/13/02

By: *Frank P. Becking*  
Frank P. Becking  
Registration No. 42,309

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